BUSINESS PLAN

Fiscal Year 2009

For Consideration by Customer Council
1-16-09 CC Meeting

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Iowa Department of Administrative Services

DAS

Government's Partner in Achieving Results

Vision

To be a world-class organization that is customer-focused, innovative and efficient.

Mission

To provide high quality, affordable infrastructure products and services to Iowa state government customers in a manner that empowers them to provide better service to the citizens of Iowa and support the State of Iowa in achieving economic growth.

West Capitol Terrace Perspective Sketch, March 2006, Brian Clark + Associates

INTRODUCTION

Department Created

The Department of Administrative Services (DAS) was established on July 1, 2003 by consolidating the Department of General Services, the Iowa Department of Personnel, the Information Technology Department, and the "corporate" state accounting function from the Department of Revenue and Finance. The responsibilities of those entities were merged into four enterprises – the Human Resources Enterprise (HRE), the General Services Enterprise (GSE), the Information Technology Enterprise (ITE), and the State Accounting Enterprise (SAE).

Business Concept

As part of the consolidation strategy, DAS implemented a new business model known as *entrepreneurial management* – a customer-focused approach to delivering services in a competitive marketplace.

The creation of the four enterprises within a single department and the implementation of "entrepreneurial management" are intended to give employees greater incentives to improve services, lower costs and be more flexible in meeting customer needs – the needs of state agencies providing critical services to Iowans. As a result of this structure, business decisions made by DAS enterprises are primarily based upon the desire to meet customer needs in a cost effective manner. Additionally, under this structure DAS customers have greater input regarding the goods and services that are provided by DAS.

Basic changes for DAS enterprises and DAS customers resulting from the creation of DAS include:

- The removal of many of the mandatory requirements that agencies use internal administrative services, other than utility services.
- A change in the way that the agencies receive funding and pay for services. Initially, General Fund monies previously appropriated to DAS entities were transferred to the budgets of customer agencies to be used for the purchase of goods and services provided by DAS. This was a one-time distribution, and now customer agencies must request these monies on an annual basis. Accordingly, agencies have greater control over how their funds are spent when purchasing products and services from DAS.
- The creation of a Customer Council to guide the establishment of rates for DAS utility services.
- Implementation of key business principles including accrual accounting, competitive pricing and customer input.

Classification of Services

Services provided by DAS have been categorized into three areas: utility services, marketplace services and leadership services.

1. **Utility services** are those most efficiently provided through a single service provider (DAS) in order to maximize efficiency and/or capture economies of scale. Examples of utility services include space management, employee benefits administration and collective bargaining negotiations. Customer agencies are required to purchase utility services from DAS. Funding for DAS utility services is provided via customer payments.

Customer agencies have a voice in setting utility rates through the Customer Council which reviews proposed rates and the basis for those rates.

2. **Marketplace services** are those where customer agencies may select a vendor (either DAS or some other entity inside or outside of state government) to provide the service. Such services include personnel training, conference planning, vehicle rentals and repairs, printing, graphic design, and a variety of technology services. Funding for DAS marketplace services is provided via customer payments. DAS determines what marketplace services will be offered consistent with its statutory authority. These services may be discontinued at any time if DAS determines that the costs of providing the service are not competitive or cannot be recovered through the prices charged for the service.
3. **Leadership services** are those "central office" services related to agency policy and standards development/implementation and corporate financial administration. Funding for DAS leadership services is provided by appropriation.

Pursuant to Iowa Code section 8.6, subsection 16, the Department of Management provides a forum for determining whether or not a service is categorized as a utility service. DOM administrative rules provide that utility services are services "for which a monopoly structure makes sense due to economies of scale." Consideration of economic factors and input from the Customer Council are among the factors to be considered when this determination is made.

Level of Service

The levels of service provided by DAS to its customers with regard to utility services are established based upon the level of funding provided in support of these services. DAS continually seeks to identify more efficient and cost effective means to provide services to our customers. The level of service to be provided is a key determinant of the fees that are charged to our customers and is an issue for discussion by the Customer Council in its deliberations.

Rates Adjustments

1. **Utility Services** rates are reviewed by the Customer Council. A majority of all voting council members must approve the rate methodology and the resulting rates for utility services. Rates must be established no later than September 1 of the year preceding the rate change. Established rates may be amended after September 1 upon recommendation by the Department of Management in consultation with DAS and with the approval of the Customer Council. Any reduction in a utility service rate may result in a corresponding reduction in the level of service related to the utility.
2. **Marketplace services** rates are established by DAS and are set at a level to cover the total cost incurred in providing the service. Market place service rates may be changed by DAS, in its discretion, at anytime to reflect a change in the cost to provide the associated service.

Customers Served

Currently, DAS is authorized to provide goods and services to all of the following:

1. State Executive Branch Agencies
2. Legislative Branch
3. Judicial Branch

4. Regents Institutions
5. Political Subdivisions
6. State/Public Employees – Active and Retired

Customer Service/Support

DAS understands that providing service and support to our customers is critical to our success. DAS currently provides several customer service contact points for use in making contact with the Department. DAS is currently in the process of restructuring its customer service/support function in an effort to make it easier for our customers to interact with DAS. Those changes include the establishment of a dedicated Customer Service area to be located at the west entrance of the Hoover State Office Building.

Marketing and Communications

Several communications methods are in place to foster effective business practices including:

1. **DAS Customer Satisfaction Surveys** are taken on a regular basis and the results are distributed and placed on the DAS website.
2. **Customer Focus Newsletter** is produced bi-monthly and sent electronically to customers. This newsletter provides information concerning new products, services, announcements, and important customer information.
3. ***eDAS*.** The ***eDAS*** Service Request and Billing System went into production July 1, 2005. ***eDAS*** allows customers to view DAS service billing information. It provides a brief description of the service, the cost of the service, and the service contact. Customers can view services by Enterprise, by category of service or by searching for a key word about the service. ***eDAS*** makes it easy for customers to become acquainted with DAS services.
4. **DAS Difference** is the employee newsletter produced bi-monthly. It provides information and news regarding employees, programs and important announcements.
5. **Over the Top and the Wall of Fame** are two DAS employee programs designed to recognize outstanding accomplishments of employees.
6. Additionally, DAS endeavors to determine customer needs in a variety of ways including:
    a. Customer surveys
    b. Focus groups
    c. Regular feedback from customers by e-mail, phone, or in-person

In the past, DAS has retained an individual on a part-time basis as a Project Consultant to stay in contact with customers in an effort to increase the use of DAS products and services. This position is not currently filled and may or may not be utilized in the future.

Current Situation

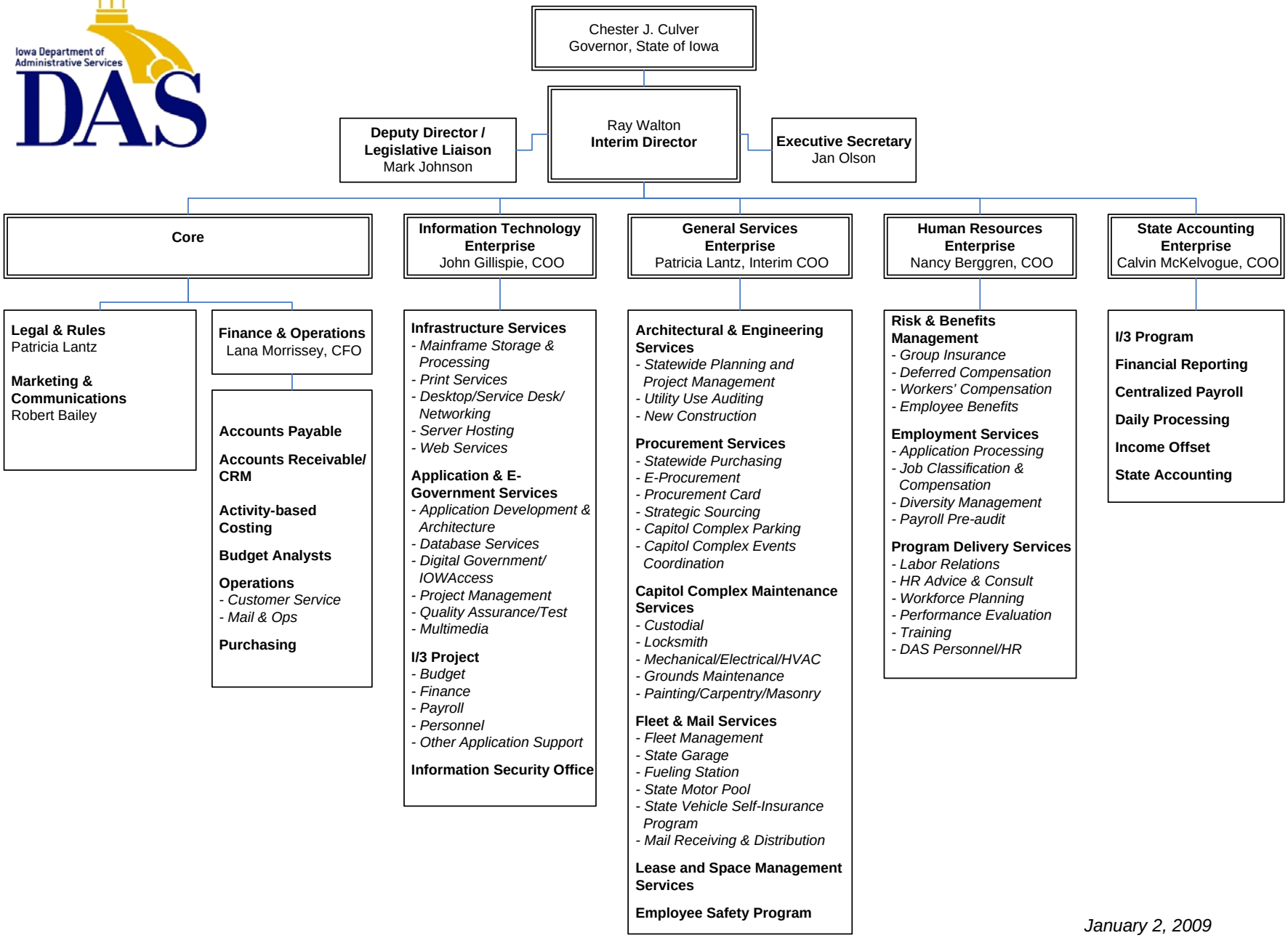
Consistent with entrepreneurial management, DAS offers services to its customers on a fee-for-service basis. In FY08, 86.4% of the DAS total budget was dependent upon customer spending decisions. DAS is continually looking for ways to hold down the costs associated with the goods and services provided to its customers. DAS is also expanding its customer base by actively marketing goods and services to political subdivisions consistent with its statutory authority. Increasing its customer base provides an opportunity to spread fixed costs associated with a good or service over a larger customer base, thereby benefiting all customers purchasing the particular good or service.

Key Success Factors

The success of DAS depends on a number of factors including the following:

1. DAS provides necessary goods and services at a reasonable and competitive cost.
2. DAS customers are provided with sufficient financial resources to pay needed goods and services.
3. DAS provides goods and services provided at the level of quality required by its customers.
4. DAS is able to maintain the necessary workforce – FTEs and necessary job skill sets – to provide necessary goods and services.
5. DAS continually seeks meaningful customer input regarding the goods and services it provides via customer service surveys and by maintaining open channels of communication, and makes necessary operational adjustments based upon this input to meet customer needs.

Iowa Department of Administrative Services



OPERATIONS

GENERAL SERVICES ENTERPRISE (GSE)
(Patricia Lantz, Interim Chief Operating Officer)

The General Services Enterprise (GSE) maintains the buildings and grounds on the Capitol Complex and at the Ankeny Laboratories, manages the operation of the state fleet of vehicles, provides leasing and space management services for agencies at the Seat of Government, provides leasing consulting services for agencies outside the Seat of Government, provides mail services to state agencies, provides statewide architectural and engineering project management services for construction projects, provides staff support to the Capitol Planning Commission, the Vertical Infrastructure Advisory Committee, the ADA Advisory Committee, manages the Capitol Complex employee safety program, and manages the procurement function for most executive branch agencies. Additionally, GSE is responsible for Capitol Complex monument maintenance and upkeep. The General Services Enterprise is comprised of the following:

1. Capitol Complex Custodial and Grounds (*Tim Ryburn, Administrator)*
2. Capitol Complex Operations *(Ken Thornton, Administrator)*
3. Vertical Infrastructure Program (*Dean Ibsen, Administrator)*
4. Fleet and Mail (*Dale Schroeder, Administrator)*
5. Procurement Services (*Debbie O'Leary, Administrator)*
6. Architectural and Engineering Services *(Paul Carlson, Administrator)*
7. Space Management and Leasing Services *(Barbara Bendon, Administrator)*

CAPITOL COMPLEX CUSTODIAL AND GROUNDS

Staff provides custodial and grounds services to the Capitol Complex, Ankeny Laboratories, agencies located off of the Capitol Complex, and Capitol Complex monuments to provide a safe, healthy, cost effective, and aesthetically pleasing environment for elected officials, employees, and visitors. Regular meetings are held with customer representatives from various buildings to improve service delivery.

CAPITOL COMPLEX OPERATIONS

Staff provides various heating, ventilation, and air conditioning (HVAC) services to the Capitol Complex, Ankeny Laboratories, and agencies located off of the Capitol Complex. Staff also provides utility use oversight and management of various projects related to restoration of the state Capitol Building.

VERTICAL INFRASTRUCTURE PROGRAM

Staff provides direct support to the Capitol Planning Commission (advisory to the legislature), to the Vertical Infrastructure Advisory Committee (reports to the Governor), and to the department's ADA Advisory Committee, which provides recommendations on building and grounds accessibility issues specific to the Americans With Disabilities Act. The staff also provides support to the Department of Administrative Services and 11 other agencies and

divisions around the state regarding building repair and maintenance projects and makes recommendations on and monitors the allocation of major maintenance and routine maintenance funds. In this capacity, the staff provides support to almost 21% of the state's real estate assets—more than 900 buildings and 11 million square feet of facilities. The Vertical Infrastructure Advisory Committee presented its ninth annual report to the Governor in December 2007.

FLEET AND MAIL

State Garage – located at 301 E. 7th St. on the Capitol Complex. The State Garage staff maintains the state vehicle fleet, receives and prepares new vehicles for issue, and prepares vehicles for auction.

Motor Pool – the Motor Pool provides short-term and long-term transportation to state agencies. The Motor Pool has been providing quality vehicles for over fifty years.

Fueling Station – in February 1991, the state fueling station was the first station in Iowa to offer E85 fuel for state vehicles. The station is located at the corner of E. 7th and Walnut Streets. The link for all E85 fueling stations in Iowa can be found at: *http://das.gse.iowa.gov/org_info/Fleet & Mail/Iowa E85 Fueling Sites Color.pdf*

Fleet Management purchases and disposes of fleet vehicles, manages the fleet fueling credit card, responds to statutory reporting requirements and legislative inquiries, assigns fleet vehicles to state agencies, insures the registration and licensure of fleet vehicles, maintains an inventory of fleet vehicles by active and inactive status, and conducts vehicle auctions.

Risk Management – the state is self-insured for state fleet vehicles under the management of DAS. Risk Management evaluates all accident claims, settles tort claims or recommends settlement to the Attorney General's Office, and recovers accident costs that were the fault of a third party. Risk Management is a cost–effective alternative to paying vehicle insurance premiums.

Mail Processing – The Mail Center receives and delivers all incoming United States Postal Service and interoffice mail to approximately 90 Capitol Complex delivery stops twice daily and once daily to 13 off-complex sites. The Mail Center receives and processes most Capitol Complex outgoing mail within eight (8) hours of receipt. .

PROCUREMENT SERVICES

DAS Procurement Services procures goods and services for most State of Iowa executive branch agencies. Its mission is to facilitate a process that provides timely, cost-effective, and high quality goods and services through cooperative and proactive procurement practices. The focus of DAS Procurement Services is to:

1. Improve the value of services to our customers, and
2. Reduce the rate (user fee) our customers pay for our services.

DAS Procurement Services, a centralized purchasing function, is designed to provide the best value through an open, fair, and competitive bidding process. Procurement Services serves an important role as a neutral third party in the competitive bidding process. DAS Procurement Services has a proven record of saving money and reducing the cost of government by utilizing economies of scale. Procurement Services focuses on providing professional procurement services to its customers so they can focus on accomplishing their core mission.

To fund a centralized purchasing operation, a prorated user fee based upon the amount of goods purchased by an agency was established. The fee has ranged from as high as 2 percent to 1 percent of goods and services purchased by agency customers. In 2004, the 1 percent fee was eliminated and a subscription fee (allowing unlimited purchases by state agencies) was adopted by the GSE Customer Council. DAS Procurement Services does not receive a general fund appropriation.

ARCHITECTURAL AND ENGINEERING SERVICES

Architectural and Engineering Services (A&E) provides project management, planning, architectural and engineering services for construction, repair, maintenance and renovation projects statewide.

SPACE AND LEASE MANAGEMENT SERVICES

Staff provides: office design services and project management oversight related to office moves and office configuration, assignment of office space on the Capitol Complex and at the Ankeny Laboratories, lease negotiations/contracts for off-Complex leased facilities, oversight and administration of the State Surplus Property Program, and contract management related to the Capitol/Lucas cafeterias.

HUMAN RESOURCES ENTERPRISE (HRE)

Nancy Berggren, Chief Operating Officer

When the Department of Personnel (IDOP) became part of the Iowa Department of Administrative Services as the Human Resources Enterprise (HRE) in 2003, it continued to provide the same human resource (HR) services that it had been offering to state agencies as an independent department. However, as explained further, a major change in service delivery occurred in the change of funding streams from an appropriation to a fee-for-service basis.

HRE also increased its focus on customer service as a key to future success. The HRE Customer Council was formed in 2003. A major part of its initial activity was invested in familiarizing council members with the services offered by HRE, service delivery methods and setting up the rate structure.

HRE provides the full range of human resource services to Iowa state government. These include:

- classification,

- compensation,
- qualification of applicants for state jobs,
- selection assistance,
- Affirmative Action (Equal Employment Opportunity/Diversity Program),
- workforce planning,
- performance evaluation,
- workforce data gathering,
- reporting and analysis,
- labor relations,
- benefits,
- risk management and leave administration,
- safety,
- workers' compensation and Return to Work,
- wellness,
- training and development, and
- consultation with and advice to state agencies on human resource matters.

Personnel Officers serve as the primary point of contact with departments to regularly monitor their unique needs and work with HRE specialists to ensure that commitments to customers are fulfilled.

With the exception of training and development, a marketplace function overseen by the Performance and Development Solutions (PDS) unit, the remaining HR functions are utility services. Annually, HRE leadership and personnel officers meet with the leadership of the various state agencies to discuss HRE's service delivery during the previous year and highlight specific projects and actions the agencies wish to focus on in the upcoming year. These expectations are formalized in Service Level Agreements (SLAs) with each agency.

The major emphasis of HRE program staff is to deliver the services specified in the SLAs, however, HRE, like its sister enterprises within DAS, constantly seeks ways to enhance, improve or increase customer service, streamline operations, and save money. HRE is positioned to build on past successes for the following reasons:

- In Iowa, all human resource functions are centralized into one department instead of fragmented throughout state government. This allows HRE to look at the effects that changing one program would have on another and make program decisions with an understanding of the total impact.
- HRE's purchasing power for all of state government is significantly greater than if each agency were buying certain HR services separately. This economy of scale method increases HRE's ability to reduce costs; this was particularly true in benefit programs.
- With the implementation of entrepreneurial principles, HRE has direct and ongoing customer involvement through the HRE Customer Council. This relationship ensures that HRE's programs are on target to meet departments' needs and that rates are reasonable to customers.

Enhanced customer service by:

1. Implementing for the DAS-HRE Customer Council a series of presentations that reviewed each DAS-HRE program including service level options and costs. The purpose of this process was to provide information to the Council that would be useful in the rate-setting process and help DAS-HRE understand the services which customers were willing to buy.
2. Receiving ratings from customers on service delivery through an annual DAS customer satisfaction survey. In FY 2006, this became a quarterly exercise in order to receive more frequent feedback from which to make more immediate course adjustments. Using a five-point scale, HRE's average customer survey ratings positively increased from 3.72 in FY 2003 to 3.96 in FY 2004 to 4.03 in FY 2005. At the end of the fourth quarter of FY 2006, using a 10-point scale, the rating was 7.65.
3. Upgrading HRE's ability to effectively help departments plan for anticipated increased turnover due to retirements. Drew upon the data-rich resources in "Just the Facts," an annual almanac of state workforce facts, and the annual Departure Survey to form the framework of a five-session workshop on Workforce Planning for state managers and human resource planners. In conjunction with the Department of Natural Resources, DAS developed the State of Iowa Workforce Planning Guide; the State of Iowa Competency Guide was also produced and distributed.
4. Improving deferred compensation offerings through a competitive bid process which will save state employees money and ensure that more of what is deferred goes to retirement savings and less to administrative fees and internal fund fees.
5. Increasing the amount of helpful and useful benefits information available to employees through the Internet and other media.
6. Processing an average of 52,398 employment applications over the last three years (39,364 in FY2004, 57,989 in FY2005 and 59,841 in FY2006 for a total of 157,194 over the three-year period). An average of 1,338 merit covered hires per year were made over the three-year period (1,213 in FY2004, 1,215 in FY2005 and 1,586 in FY2006 for a total of 4,014 merit-covered hires during the period).
7. Providing over 10,000 hours of direct human resource management advice and counsel to state managers and supervisors and employees and spending over 2,700 hours reviewing position classification issues and requests for reclassification.
8. Creating organizational development and consulting services as an entirely new part of the business of the training unit, which is bringing great value to our customers through strategic planning, organizational structure and alignment with goals, team and leadership development, and enhanced process improvement.
9. Developing business relationships with several local governments to expand training and development offerings beyond the State of Iowa, thus enhancing local government and overall performance by government employees to better meet citizens' needs.
10. Customizing learning solutions for State of Iowa agencies to help them solve pertinent issues in a timely and cost-efficient way.
11. Administering a third Early Out program in the summer of 2004. 272 state employees participated, compared to 597 in Early Out 1 in FY2002 and 150 in Early Out 2 in FY2003 (26% of a total of 1, 039 participants in all three programs).

Streamlined, enhanced or eliminated programs by:

1. Partnering with the Information Technology Enterprise and the State Accounting Enterprise to implement a new Internet-based payroll and employment system.
2. Establishing Performance and Development Solutions (PDS), an entrepreneurial, market-based training unit aimed at providing an array of diverse employee and organizational development services to state agencies and other organizations.
3. Streamlining training course offerings to meet the training development program's strategic goal of employee and leadership development. This meant eliminating personal growth-type courses that could be taken through adult learning courses within communities.
4. Enhancing training course offerings to meet the current and growing needs of the State of Iowa workforce, ensuring opportunity for state employees to create high performing workplaces.
5. Increasing the number of training opportunities outside the Des Moines area so more state employees had access.
6. Assisting with the Governor's initiative to increase diversity within state government by providing additional, ongoing information and data to agencies regarding the composition of the State's workforce. Also offered a slate of training of courses on issues related to diversity. Since FY2004, attendance in these courses increased by 85%.

INFORMATION TECHNOLOGY ENTERPRISE (ITE)

John Gillispie, Chief Operating Officer

The core function of the Information Technology Enterprise (ITE) is to provide high-quality, customer-focused information technology services and business solutions to government and to citizens. Pursuant to Iowa Code Section 8A.202(3), ITE is to:

a. Coordinate the activities of the department in promoting, integrating, and supporting information technology in all business aspects of state government.

b. Provide for server systems, including mainframe and other server operations, desktop support, and applications integration.

c. Provide applications development, support, and training, and advice and assistance in developing and supporting business applications throughout state government.

As DAS formulates tactical and strategic plans and conducts business, ITE operates under the following assumptions:

- Technology is a tool and, like any tool, can be used effectively to achieve a public organization's mission and goals.
- Service and information will be the primary focus for users; the perception of government is measured by its ability to deliver service. At the same time, the need for security, privacy, and accessibility will continue to be a priority for users.
- Mobile computing will accelerate dramatically through the use of integrated computing devices; Web technology is the primary delivery mechanism for mobile devices.

- The continued shift from legacy systems/client servers to an e-Government network-centric computing environment will allow state government to be proactive rather than reactive, service aware instead of environment aware, and, most importantly, customer-focused rather than IT-focused.
- The costs of computing resources will continue to decline, while human resources costs will continue to escalate.
- The availability of network bandwidth will continue to increase, thus allowing Internet-based services and information to be provided in a timelier and more convenient manner to government's constituents.

The Information Technology Enterprise:

- **Provides** ongoing support for the development, implementation, and operation of "Integrated Information for Iowa" (I/3), Iowa's new web-based financial management and enterprise resource planning system. I/3 includes modules for Budgeting, Financial Management, Human Resources, and Purchasing. I/3 has many new features designed to reduce the burden and improve the accuracy of managing agency budgets. I/3 replaces several existing mainframe systems, most notably the Iowa Financial Accounting System (IFAS) and the Human Resource Information System (HRIS), both of which were designed and implemented over 20 years ago.
- **Supports** approximately 3,900 e-mail mailboxes for 34 state agencies, boards and commissions.
- **Directly supports** more than 1,000 desktop computer systems in 38 state agencies, boards and commissions with on-call support for the remaining 18,000 executive branch desktop computers.
- **Manages** the official State of Iowa web portal, processing 2.5 million Internet hits per month.
- **Supports** the Judicial Branch Iowa Court Information Systems (ICIS) electronic public access to the online court application which averages 6.5 million page views per month.
- **Operates** the ITE mainframe data center which processes in excess of 3.6 million online business transactions each business day, prints over 3.8 million lines of print (licenses, permits, and reports) and an average of 8,000 state warrants each business day (two million state warrants annually).
- **Manages** numerous security measures to protect data and critical computer systems, including an intrusion detection system monitoring shared state networks for malicious traffic, a spam filter to block 3-5 million unwanted e-mail messages per day, an authorization program ensuring only authorized individuals access data, antivirus software to keep malicious programs off state computers, sophisticated assessment tools to identify where systems are vulnerable and much more.
- **Maintains** a project office to oversee and coordinate the implementation of the federal Health Insurance Portability and Accountability Act (HIPAA) for state government. The HIPAA Project Office has provided a point of coordination for HIPAA policy and procedures for the healthcare industry in Iowa and has provided extensive assistance to county governments through the Iowa State Association of Counties.

ITE Service Management

Service management is organized along the lines of ITE's functional divisions. Each division involved with our service offerings has specific roles and responsibilities; however, the operational management of core ITE services is placed within the Infrastructure Services Division. The Applications and e-Government Services Division manages computer application and programming services.

In managing ITE's budget, costs are identified as Direct, Indirect, or General and Administrative. ITE's budget is aligned with its service offerings to provide better financial results management. To cost and price services, ITE uses the standardized DAS categorization as follows:

Direct Costs

- Personnel
- Support

Indirect Costs

- Personnel
- Support

General & Administrative Costs

- Leadership
- Shared Services

Direct costs are those directly attributable to a product or service. Indirect costs are those necessary to maintain ITE's ability to offer and support services in addition to administrative management costs. General and Administrative costs include ITE's leadership costs along with ITE's costs associated with centralized shared services provided by DAS Core (e.g., purchasing, financial reporting).

In addition to this financial management model, ITE uses a detailed pricing model to better delineate specific line item services (e.g., Java application, web application server hosting) cost, price and infrastructure scaling based on volume. This enables ITE to specifically model line item services based on specific customer requirements and make a valid comparison of quality, service and price with external service providers.

Serving Our Stakeholders

With demands for government effectiveness and spending efficiency, here are examples of the need for alignment between state agencies and ITE:

- Compliance regulations (e.g., HIPAA Privacy and Security, Sarbanes-Oxley, Graham-Leach-Bliley).
- State mandates (e.g., Accountable Government Act, Purchasing for Results).
- Internal accountability frameworks (e.g. ITE Business Review).
- Internal risk management initiatives.
- Federal initiatives for results-based government tied to federally funded state programs.

STATE ACCOUNTING ENTERPRISE (SAE)

Calvin McKelvogue, Chief Operating Officer

Stewardship in government means managing resources that have been entrusted by others so that the services returned maintain the well-being of citizens. SAE is committed to promoting the well-being of Iowans by providing efficient and effective services and resources to all State departments that serve our citizens. These services and resources, which revolve around both the collection and reporting of financial information and the processing of financial transactions, are critical elements needed by the Executive, Legislative, and Judicial branches to sustain the quality of life that Iowans enjoy.

Centralized Financial System

The State's primary system for collecting, processing and reporting financial transactions and information to decision makers and other stakeholders is the *Integrated Information for Iowa*, also known as "I/3." I/3 is a computerized financial resource planning system managed and maintained by SAE that is used to record and classify over 18 million financially related transactions and economic events each year. Furthermore, the system provides current, real-time information about State resources and obligations.

Since stewardship requires planning and enacting fiscal strategies which ultimately culminate in allocation and disbursement of monetary resources, I/3 is the most useful fiscal tool available to decision makers. Additionally, more than 1,300 State employees use I/3 to record and process approximately $19.5 billion in revenues and $19 billion in expenditures. SAE provides Help-Desk support, training, and resources to develop new functionality to and for these end-users.

Warrant Processing & Disbursement

The majority of financial transactions and events processed by the I/3 system involves interdepartmental transfer and external disbursement of State funds. In order for beneficiaries, vendors, local governments, and others to receive accurate and timely payments, the disbursement process must occur within a system that assures both integrity and efficiency. SAE ensures that the 7 million payments it issues annually are supported by approved claims from the paying departments. Additionally, SAE validates each of the 200,000 claims submitted to ensure that the information recorded in I/3 is accurate. Pre-audited claims submitted to SAE for payment are approved the day they are received.

To help ensure the disbursement process remains efficient and effective, SAE provides ongoing training to departments regarding procedures, guidelines, and regulations and monitors their compliance. Reports including information about warrant transactions and status, bank transfer activity, and internal documents processed are provided to departments to help them maintain quality assurance and efficiency in their operations.

General Fund Cash Flow Estimates

Revenues used to fund State-managed programs, projects and operations are received inconsistently during the year, while expenditures occur on a daily basis. This mismatch in cash flow timing can impair the State's ability to meet its ongoing financial obligations. The Treasurer's Office manages these fluctuations in revenue inflows by various methods including issuing short-term debt instruments that provide proceeds to be used as needed in the remainder of that fiscal year. In order for these instruments to be tax-exempt to investors, Federal tax laws require justification of the State's cash needs prior to their issuance. SAE helps the State Treasurer meet this requirement by providing a month-to-month cash flow estimate identifying cash shortfalls. Once the instruments have been sold to an underwriter and the proceeds have been received, the Treasurer invests the funds to earn interest and draws upon them as needed. This fund management technique requires a continual monitoring of cash needs in order to maximize interest return while maintaining access to the funds to meet daily obligations. Again, SAE provides a valuable service to the Treasurer by projecting revenue and expenditure timing and amounts.

Cash Management Improvement Act

The Federal Cash Management Improvement Act (CMIA) was enacted in 1990 to improve the transfer of Federal funds between the federal government and the states. The Act is intended to ensure equity between the governments and improve efficiency of fund transfers by assessing a financial liability against states for retaining interest income generated from the early withdrawal of Federal assistance as well as assessing a similar liability against the Federal Government when grantee funds are not available timely. CMIA requires a formal Treasury-State Agreement (TSA) between the Federal Treasury Department and Iowa to implement the Act and its regulations. SAE is responsible for negotiating this agreement annually and maintaining compliance with the agreed upon procedures, including the annual calculation and payment of interest liability resulting from Federal cash balances being held by the State.

Statewide Central Service Cost Allocation

In order to provide and maintain effective services to Iowans, the State must fund its programs in the most efficient manner possible. Efficient funding means that Federal dollars available for an equitable share of program costs must be identified and recovered. The Statewide Cost Allocation Plan (SWCAP), administered by SAE, seeks to achieve these objectives. SWCAP is an annual process that identifies central services provided to operating departments where Federal programs are administered and ensures those services are funded equitably between Federal and State resources. Central services are common services that are provided by various State departments to other departments so that programs can be administered to Iowans. Examples of central services include printing, mailing, purchasing, accounting, technology support, motor pools, and buildings and grounds maintenance.

A SWCAP is necessary to recover central service costs from Federal programs. The Plan identifies operating departments responsible for performance or administration of Federal awards, identifies and quantifies their billed and non-billed (allocated) central services, provides a description and justification for each service billed and allocated to them, and provides financial records as supporting documentation.

The SWCAP process is ultimately a negotiation of what is deemed equitable funding between the Federal Government and the State. The Plan is submitted annually to the U.S. Department of Health and Human Service for review, adjustment and approval. During the review window, the Federal negotiator studies the Plan and discusses questions and concerns with SAE. In the adjustment process, SAE researches questionable items and prepares explanations and responses in defense of Plan content and methodology. Once negotiations are complete, billings and allocations are approved and appropriate reimbursements are made to either HHS or the State.

Comprehensive Annual Financial Report

The State of Iowa Comprehensive Annual Financial Report (CAFR) is a publication of the SAE which presents the State's financial position and results of operations, as well as certain demographic and statistical information. It helps elected officials to both understand the financial condition of the State at the end of each fiscal year and make reasoned economic decisions concerning the use of limited financial resources in the coming fiscal year. Other Stakeholders who rely on the CAFR include rating companies such as Moody's Investors Services and Standard & Poors Corporation, who analyze the State's financial integrity and set bond ratings for capital borrowing, and special interest groups who hold elected officials accountable for their stewardship.

In order to help ensure that reported information is useful, valid, and relevant to decision-makers and readers, standards for financial accounting and reporting have been established. The Governmental Accounting Standards Board (GASB) is the organization empowered to establish and maintain these standards for governmental entities. To accomplish its mission, the GASB keeps standards current to reflect changes in the governmental sector, considers significant areas of accounting and reporting that can be improved through the standard-setting process, and improves the common understanding of the nature and purposes of information contained in financial reports by providing guidance on implementation of the standards.

SAE consistently achieves compliance with GASB standards and maintains excellence in financial reporting. For 13 consecutive years SAE has been awarded the *Certificate of Achievement* for its Comprehensive Annual Financial Reports from the Government Finance Officers Association (GFOA) of the United States and Canada. This award is the highest form of recognition in the area of governmental accounting and financial reporting, and its attainment represents a significant accomplishment by a government and its management. To receive the Certificate, the State of Iowa of must also receive an unqualified (clean) audit opinion. The GFOA is a non-profit, professional association serving approximately 14,000 finance professionals.

Income Offset

When State departments are unable to collect delinquent receivables for their services, judgments, or as agents for their program beneficiaries, they may submit claims to SAE for collection assistance. SAE matches these claims against pending payments such as tax refunds, accounts payable, lottery payouts, and unclaimed property settlements and offers these payments to the appropriate departments as satisfaction of the outstanding debts. Over the past three years, SAE has collected approximately $52 million in delinquent taxes, student loans, judicial restitution, human service assistance overpayments, back child support and miscellaneous other debt. The service has been so successful that SAE has extended its customer base beyond State departments to include local governments such as cities, counties and colleges.

Federal Tax Reporting

Taxes are the largest source of revenue available to governments. Therefore, it is critical for governments to maintain effective methods to capture, process, and report information about taxable events end transactions. The IRS partners with state and local governments, non-profit organizations and the private sector to implement an effective monitoring and collection system.

SAE provides certain income tax reporting services to the IRS. These services include capturing financial disbursement data through the central financial system, processing the data to meet IRS guidelines, and ensuring that approximately 14,000 IRS 1099-Miscellaneous forms are sent timely to vendors across the country. Additionally, SAE partners with Iowa Department of Revenue to provide ongoing taxpayer support to its vendors through an internet website. Finally, the Enterprise assists the IRS by helping to correct erroneous taxpayer information.

Centralized Payroll

Many State employees look to SAE each pay period to provide them with a timely and accurate payment for their hard work and efforts. The Central Payroll staff is committed to meeting these expectations, and it processes approximately 480,000 payroll warrants and direct deposits every year for personnel in all branches of State government. Employees in over 60 departments, receive over $1.2 billion annually in pay and benefits. The Enterprise also assists State employees with interpretation of rules, regulations, and guidelines as well as payroll calculations and estimates. Furthermore, SAE is committed to helping the State cut costs and improve efficiency. It provides an alternative to paper warrants by offering direct deposit services and a web-based Online Payroll Warrant as well as an online time reporting system.

In addition to processing payroll, Central Payroll is responsible for the accounting and reporting for three State post-retirement benefit programs:

- The SPOC Insurance Trust Fund receives converted sick leave dollars of the retirees of the Department of Natural Resources under the Peace Officers collective bargaining agreement. Those funds are used to pay retiree premiums for health, dental and life insurance benefits.

- Three Early-Out Incentive Programs provide for employees to be paid the full or partial value of their leave balances, at the time of termination for four subsequent years.

- The Sick Leave Insurance Program (SLIP) provides for the payment of retirees' employer shares of health insurance premiums from a "bank" of dollars calculated based on their sick balance at the time of retirement.

Other duties of Central Payroll include the pre-audit and processing of back pay, taxable benefits, Military Pay differential, settlement agreements, and supplemental Worker's Compensation benefits. Additionally, Central Payroll provides support services to the unemployment compensation program by providing reports to other departments that assist them in filing mandatory Iowa Workforce Development unemployment returns, processing quarterly payments to the Iowa Workforce Development to reimburse that department for unemployment claims, and recovering those non-General Fund reimbursements from other State departments.

Serving State employees is Central Payroll's primary responsibility. However, they also perform quality assurance activities that help ensure integrity within the payroll function. Review and reconciliation of health, dental, life, and long-term disability transactions and reports help ensure that accurate premiums are submitted to insurance carriers. Additionally, W-2 and 1099-R information is prepared and submitted in compliance with Federal and State tax laws.

SAE understands the importance of timeliness of service, and Central Payroll is committed to meeting strict time requirements for all payroll related distributions and reports. Wages, salaries, withholdings, State matches, and Federal and State tax payments have, between them, various due dates that must be adhered to. Central Payroll has a proud tradition of continually meeting all such deadlines.

Complaint Resolution Process

The Customer Council is authorized to review and approve the procedure for resolving complaints regarding services provided by DAS. Prior to July 1, 2008, each of the predecessor Customer Councils had individually approved a complaint resolution process related to the respective enterprises. The Customer Council established as of July 1, 2008, to replace the predecessor Councils will be finalizing this process in the near future.

This section will be updated after the Council takes final action.

PRODUCTS AND SERVICES

DAS Program/Service Categories

This chart shows the location of current agency services within one of the three categories within DAS for FY2007/08, as well as the categorization for FY2009. The categories are:

- **Leadership functions** are those services related to policy and standards development that will be funded through a general appropriation. It is appropriate where standardization is required and the ultimate customer is the taxpayer.
- **Utilities** are those services for which a monopoly structure makes sense due to economies of scale. Customers choose the amount of service purchased but must buy from a single source. Utilities will be funded by an internal service revolving fund.
- **Marketplace services** are those services that may be purchased in a competitive environment. Customers may choose to buy these services from any available vendor. These services are funded through enterprise revolving funds.

PROGRAM/SERVICE	CATEGORY FOR FY07 & FY08			CATEGORY FOR FY2009		
	Leadership	Utility	Marketplace	Leadership	Utility	Marketplace
INFORMATION TECHNOLOGY ENTERPRISE						
Infrastructure						
Desktop/Workstation			X			X
Service Desk			X			X
Networking/Communications			X			X
Server Hosting			X			X
Mainframe Services			X			X
E-mail			X			X
Common Calendar and Directory		X			X	
Application and e-Government Services						
Mainframe Development Services			X			X
Database Services			X			X
Web Services			X			X
Planning and Consultation						
Consultation			X			X
Printing Services						
Consulting			X			X
Graphic Design and Layout			X			X
1- and 2-Color Offset and Digital Printing			X			X
Digital Color Printing			X			X
On-site Copier Services			X			X
Letter Shop Services			X			X
Information Security						
Information Security Services		X			X	
Portable Device Encryption*	N/A			*		

PROGRAM/SERVICE	CATEGORY FOR FY07 & FY08			CATEGORY FOR FY2009		
	Leadership	Utility	Marketplace	Leadership	Utility	Marketplace
** A Portable Device Encryption service is being considered for addition in FY09; category has not been determined.*						
STATE ACCOUNTING ENTERPRISE						
Comprehensive Annual Financial Report (CAFR)	X			X		
Centralized Payroll	X			X		
Centralized pre-audit/post-audit	X			X		
Iowa Income Offset Program	X			X		
Cash Management Improvement Act of 1990	X			X		
Statewide Indirect Cost Allocation Plans	X			X		
Integrated Information for Iowa (I/3)		X			X	
GENERAL SERVICES ENTERPRISE						
Architectural & Engineering						
Architectural & Engineering Services (formerly "Design & Construction) – includes Vertical Infrastructure Program and Project Management		X			X	
Capitol Complex Maintenance						
Association Fee – includes Mechanical, Custodial, Grounds, Lock Shop, Facility Maintenance, Space Management services and Employee Safety Program (50%)		X			X	
Ceremonial Space Maintenance – includes Employee Safety Program (50%)	X			X		
Utility Usage Oversight	X			X		
Fleet & Mail						
Fleet – Depreciation – includes Purchasing, Replacement and Disposal of Vehicles		X			X	
Fleet – Management		X			X	
Fleet – Risk Management		X			X	
Motor Pool/Fueling Station			X			X
State Garage			X			X
Gas Station			X			X
Mail Services – includes Mail Processing and Delivery		X			X	
Procurement Services						
Purchasing – includes Bidding and Contracting		X			X	
Blanket Bond		X			X	
Support						
Leasing (Fee at Seat of Govt. and		X			X	

PROGRAM/SERVICE	CATEGORY FOR FY07 & FY08			CATEGORY FOR FY2009		
	Leadership	Utility	Marketplace	Leadership	Utility	Marketplace
Fee Outside Seat of Govt.)						
Events Coordination	X			X		
HUMAN RESOURCES ENTERPRISE						
Organizational Development						
General Training			X			X
Conference Planning			X			X
Special Consultation Services (development and implementation of studies aimed at developing staff or the organization such as organizational climate studies, training needs assessments or customized exit surveys)			X			X
Labor/Management Committee Facilitation			X			X
Employment Services						
Employment Services (Merit Only and Merit and Non-Merit) – includes Application Intake and Referral, Workforce Planning, Classification and Compensation Studies, Data Management (publications like the Iowa Almanac), Diversity Program Management, Performance Appraisal Management, Payroll Audit, and Contingent Workforce Contract Management		X			X	
Golden Dome Awards		X			X	
Benefits						
Benefits – includes Deferred Compensation, Group Insurance Programs, Employee Wellness Program, Employee Assistance Program, and Leave Management		X			X	
Health Insurance Surcharge (for health insurance administration)		X			X	
Unemployment Contract		X			X	
Workers' Compensation		X			X	
HR Consultation & Program Delivery Services						
Labor Relations – includes Contract Negotiations, Collective Bargaining Agreement Interpretation, Federal Law Interpretation and Grievance Processing,		X			X	
Personnel Officers – includes Individual Classifications, Classification Appeal Hearings, DAS-HRE Rules Interpretation, Investigations, 19B Investigations and Reviews and Appeals		X			X	

Utility Services Descriptions

DAS – SAE

Service Id : 3999
I/3 Administration
Provides accounting processing, payroll and time processing, budget processing and related data storage through central linked systems for state agencies.
Category: **Accounting/Payroll/Budget**
Contact: **Calvin.McKelvogue@iowa.gov**

DAS – ITE

Service Id : 767
Directory Services
Provides a directory lookup of basic information on state employees via a "directory synchronization" process of participating State of Iowa government entities. Information, such as e-mail address and telephone number, can be queried using a "global address list", LDAP lookup, or email queries.
Category: **Common Directory**
Contact: **Darwin.TenHaken@iowa.gov**

Service Id : 4171
Information Security Office
Provides enterprise-wide Information Security services including development and enforcement of enterprise standards, policies and best practices, assessment and monitoring of risks and threats and the effectiveness of measures to reduce risk, development and delivery of security awareness and other security training, information security incident response services and resources and consultation to assist departments in protecting critical resources and data.
Category: **Information Security**
Contact: **greg.fay@iowa.gov**

Service Oriented Architecture – *New DAS – ITE Utility in FY2010*
SOA Infrastructure
Service-Oriented Architecture (SOA) is a methodology for exchanging information between software systems. The SOA Infrastructure handles common requirements for exchanges such as security, authentication/authorization, service-level tracking and alerting. The SOA Infrastructure also provides a single point of entry and network access control for service consumers and providers.
Metric Description: A service call is a request from a consumer that includes a response from the provider. The response may be an exception raised by the provider, a refusal of data (based on authorization settings), or a successful transaction.
Extended Services: Setup time needed to implement and test the connectivity will be billed separately under service 153.
Category: **Development Services – Enterprise S**
Contact: **MICHAEL.TUTTY@iowa.gov**

Service Id : 0746
Enterprise Authentication and Authorization
Enterprise Authentication and Authorization (A & A) is a web service that provides single sign-on user authentication and authorization for client applications utilizing Web, client/server and

even mainframe platforms.
Metric Description: An authorization is a validation of a user's credentials.
Extended Services: Setup time needed to implement and test the connectivity will be billed separately under service 153.
Category: **Development Services – Enterprise S**
Contact: **Michael.Tutty@iowa.gov**

DAS – HRE

Service Id : 3961
Benefits and Pre-tax Utility
Three Deferred compensation Programs are offered to state employees as methods to save for retirement. Group Insurance Program provides for employee health, dental, basic life, supplemental life and long term disability coverage's. Wellness Program provides resources to aid employees in identifying health risks and making positive lifestyle changes. Leave Management governs employee leave.
Category: **Benefits**
Contact: **Ed.Holland@iowa.gov**

Service Id : 3970
Personnel Officers
The Personnel Officers Utility Package includes: advice and assistance on HRE programs and services, Investigations; Classification Reviews; Collective Bargaining Agreement Interpretation; Administrative Rules Interpretation; Federal Law Interpretation; Reviews and Appeals; Grievance Processing; 19B Investigations; and Classification Appeal Hearings.
Category: **Program Delivery Services**
Contact: **MaryAnn.Hills@iowa.gov**

Service Id : 3965
Labor Relations
Advice and consultation in all areas of labor relations including the administration and interpretation of the State's Collective Bargaining Contracts, the Iowa Code and Federal law and DAS-HRE Administrative Rules: Grievance and Arbitration processing; Investigations and negotiation of the state's Collective Bargaining agreements with AFSCME, SPOC and IUP.
Category: **Program Delivery Services**
Contact: **MaryAnn.Hills@iowa.gov**

Service Id : 3963
Employment Services – Merit
Employment Services for filling Merit covered positions.
Category: **Employment Services**
Contact: **Bill.West@iowa.gov**

Service Id : 3964
Employment Services Utility Package
Employment Services Utility Package will include recruitment; application intake, qualification and certification; evaluation and maintenance of the compensation/classification/selective systems, including special studies; pre-audit of pay actions; management of recall/outplacement and exclusion programs; affirmative action compliance and program management; applicant and workforce data collection and analysis; consultation with staff. Some major classification or

compensation studies may require additional fees billed to the requesting agency for consultation work…
Category: **Employment Services**
Contact: **Bill.West@iowa.gov**

Service Id : 3958
Health Insurance Program Administration
Provides for the oversight of the Health insurance program by assisting agency customers with any questions they may have about the health insurance program based on the applicable rules, laws, vendor contracts and collective bargaining agreements and supply adequate educational and informational materials to employees and departmental customers. Also provides for the competitive bidding of vendor contracts for the health insurance program administration and the monitoring of vendor's contract compliance.
Category: **Benefits**
Contact: **Ed.Holland@iowa.gov**

Service Id : 3971
Golden Dome Awards Program
Highest form of employee recognition for state employees based on accomplishments during the previous calendar year.
Category: **Program Delivery Services**
Contact: **judy.akre@iowa.gov**

Service Id : 3960
Unemployment Claims Management
Provides for State's unemployment insurance program administration through an administrative services only vendor.
Category: **Benefits**
Contact: **Ed.Holland@iowa.gov**

Service Id : 3956
Flexible Spending Program
Allows employees to pay for employer-sponsored insurance with pretax dollars.
Category: **Benefits**
Contact: **Ed.Holland@iowa.gov**

Service Id : 3959
Worker's Compensation Program Administration
Manage financial and administrative aspects of the state employee workers compensation including acquisition and management of the State's arrangement with a third party administrator, management of financing for the program, and development of policy related to timely access of injured employees to appropriate services.
Category: **Benefits**
Contact: **Ed.Holland@iowa.gov**

DAS – GSE

Service Id : 3897
Capitol Complex Association Fee
Covers mechanical systems (heating, ventilation, air conditioning; except for computer rooms), Grounds (mowing, regular trimming, nursery, landscaping, snow removal), Life, Health and Safety Systems (fire alarms, sprinklers, automation), Lock Shop (key security, maintenance,

internal recordkeeping, regular maintenance), and Custodial Services (cleaning of restrooms, vacuuming, hard floor care, trash/recycling, general cleaning). The fee is based upon the number of square foot utilized (pro-ration).
Category: **Property-Space**
Contact: **tim.ryburn@iowa.gov, ken.thornton@iowa.gov**,

Service Id: 3820
Ankeny Laboratories Association Fee
Includes the same items identified for the Capitol Complex Association Fee plus additional expenses specific to the laboratories. The fee is based upon the number of square feet utilized (pro-ration).
Category: **Property-Space**
Contact: **tim.ryburn@iowa.gov, ken.thornton@iowa.gov,**

Service Id : 3905
Procurement Services Fee
Facilitates the procurement of goods and services for general use for and on behalf of state agencies. The fee is based upon agency purchase volume (pro-ration)
Category: **Purchasing**
Contact: **debbie.oleary@iowa.gov**

Service Id : 3835
Mail Services Fee
Provides mail pick up, delivery, and processing for local and outgoing mail. Provides certified mail pick up and delivery. The fee is based upon mail volume (pro-ration).
Category: **Mail**
Contact: **dale.schroeder@iowa.gov**

Service Id : 3903
Blanket Bond Fee
Provides protection to the state against employee embezzlement. The fee is based upon the number of agency FTE's (pro-ration).
Category: **Purchasing**
Contact: **debbie.oleary@iowa.gov**

Service Id : 3892
Vehicle Self Insurance (Risk Management) Fee
Provides driver insurability assessment, state vehicle collision coverage, and accident liability coverage, mediation services to minimize state liability, and recovery for damages when the state is not at fault. The fee is based upon the number of active vehicles per agency (pro-ration).
Category: **Fleet**
Contact: **mark.blazek@iowa.gov**

Service Id : 3901
Space and Lease Management (Seat of Government) Fee
Locates, negotiates, and manages leases at the Seat of Government (defined as Des Moines, Polk County and all contiguous counties to Polk). Assigns space and manages office resets / moves. The fee is based upon the amount of square footage utilized (pro-ration).
Category: **Property-Space**
Contact: **barbara.bendon@iowa.gov**

Service Id : 3890

Fleet Management Fee
Includes credit cards for fuel and maintenance, oversight of customer vehicle repairs and billings, state and federal statutory compliance for alternative fuels and Corporate Average Fuel Economy requirements, timely managed information and recalls/technical advisories. Rate varies based upon the budget divided by the # of vehicles divided by 12. The fee is based upon the number of active vehicles per agency (pro-ration).
Category: **Fleet**
Contact: **dale.schroeder@iowa.gov**

Service Id : 3891
Vehicle Replacement Depreciation Fee
Provides funding for systematic vehicle purchases and maintenance of vehicle replacement depreciation allowances. The fee varies by vehicle and is based upon the current model year vehicle cost, less previous model year sales prices, divided by a 48 – 60 month vehicle life cycle. The fee is also based upon the number of active vehicles per agency not fully utilized.
Category: **Fleet**
Contact: **dale.schroeder@iowa.gov**

Service Id : 4095
Architectural and Engineering Services Fee
Provides for statewide project management related to construction planning, construction design, new construction, and infrastructure repair, maintenance, and renovation, exclusive of Capitol Complex construction projects. The fee is based upon projected billable hours.
Category: **Construction**
Contact: **paul.carlson@iowa.gov**

Service Id : 4195
Architectural and Engineering Services Fee
Provides for project management related to construction planning, construction design, new construction, and infrastructure repair, maintenance, and renovation, for Capitol Complex construction projects. The fee is based upon projected billable hours.
Category: **Construction**
Contact: **paul.carlson@iowa.gov**, **ken.thornton@iowa.gov**

Service Id : 3900
Lease Management (Outside Seat of Government) Fee
Reviews leases and amendments to ensure legal sufficiency and ADA compliance. Consolidate, maintain, and provide master lease data costs to agencies. Maintains standard State of Iowa lease agreements: provides location, negotiation and other leasing assistance when required. In collocation facilities, provides same assistance noted under Seat of Government leases. The fee is based upon projected billable hours.
Category: **Property-Space**
Contact: **barbara.bendon@iowa.gov**

Future Products and Services

DAS regularly examines its list of services and compares it to the needs of our customers in an effort to determine if new services are appropriate, or if existing services should be eliminated.

PERFORMANCE MEASURES

General Services Enterprise

- Estimated value of construction projects projected to be closed out during the Fiscal Year
  - FY09 Target – $107,000,000
- Number of construction projects to be closed out during the Fiscal Year
  - FY09 Target – 133
- Hourly rate charged by CCM Custodial – Grounds compared to the same activity in the private sector
  - Informational – No Target
- Percent of first class mail processed at the discounted postage rates as measured by the Hasler Mail Management System
  - FY09 Target – 95 %
- Percent of mail received for outgoing processing is completed within 8 business hours of receipt
  - FY09 Target – 100 %
- Increase number of E85 and hybrid electric vehicles – measured as a percentage of the total number of fleet vehicles classified under 8500 lbs.
  - FY09 Target – 5 %

Human Resources Enterprise

- Group Insurance – Per employee per month administrative fees are less than the established benchmarks.
  - FY09 Target – $35 per employee per month according to industry standards.
- Workers' Compensation – Reduction of open claims compared to previous year
  - FY08 Benchmark – 1,142
- Workers' Compensation – Reduction of new claims
  - FY08 Benchmark – 4,241
- Benefit Education – Participants in benefits education presentations agree that presentation helped them understand their benefits
  - FY09 Target – 90 %
- Employment – Customers satisfied with the quality of applicants and the administrative processes for hiring as measured by the hiring survey
  - FY09 Target – 90 %
- Program Delivery – Program delivery services (Personnel Officers and Labor Relations Services) are good or excellent as rated by customers
  - FY09 Target – 90 %
- Program Delivery – Statewide percent of evaluations completed on an annual basis
  - FY09 Target – 90 %
- Increase number of Minorities in State Government
  - FY09 Target – 6.09 %

Information Technology Enterprise

- Number of ADAM Internal/External accounts
  - Informational – No Target
- Uptime of GOV Domain Controllers
  - FY09 Target – 99.9 % uptime
- Uptime of ADAM Production Server

    - FY09 Target – 99.9 % uptime
- Participating Agencies per Model each Month
    - FY09 Target – 100 % compliance with published standard
- Risk Reduction – Assessments conducted at state agencies to determine compliance with enterprise security standards and to reduce risk
    - FY09 Target – Minimum of 40 agencies completing risk/compliance assessments
- Number of new user IDs added to the system
    - FY09 Target – 2 % average monthly growth of user IDs
- Number of authentications performed in a month
    - FY09 Target – 5 % increase in number of authentications process year-to-date from prior year's year-to-date for same month
- Percentage of time that the application is available
    - FY09 Target – 99.9 %
- Percentage of time the service bus is available for use
    - FY09 Target – 99.9 %

State Accounting Enterprise

- Availability of Finance Application during finance business hours
    - FY09 Target – 97 %
- Availability of Data Warehouse during data warehouse business hours
    - FY09 Target – 97 %

Additional background on the above measures is available upon request to the Department.

UTILITY RATE HISTORY[1]

	DAS UTILITIES	BASIS FOR RATE CALCULATION	Notes	FY05	FY06	FY07	FY08	FY09	FY10
	State Accounting Enterprise (SAE)								
	Integrated Information for Iowa (I/3)	Annual allocation starting in FY07	**2**	$106.44	$103.68	N/A	N/A	N/A	N/A
	Information Technology Enterprise (ITE)								
	Directory Services	FT & PT Perm Employee	**3**	$9.48	$9.00	$9.40	$8.26	$7.88	$6.75
	Information Security Office (ISO)	FT & PT Perm Employee	**3**	N/A	N/A	$10.41	$12.76	$16.58	$14.45
	Service-Oriented Architecture (SOA)	64% = FTE; 36% = agency usage							$4.27
	Authentication & Authorization (A&A)	64% = FTE; 36% = agency usage							$4.67
	Human Resources Enterprise (HRE)								
	Benefits	FT & PT Perm Employee *		$27.24	$32.88	$28.80	$34.80	$34.80	$29.40
	Personnel Officers ("*Program Delivery" in FY05*)	FT & PT Perm Employee *		$60.24	$60.96	$65.88	$71.28	$71.28	$77.28
	Labor Relations	FT & PT Perm Employee *		$29.28	$25.32	$31.56	$21.84	$21.84	$20.04
	Employment Services		**4**	$68.04	N/A	N/A	N/A	N/A	N/A
	Employment Services - Merit Only	FT & PT Perm Employee *	**4**	N/A	$17.76	$19.68	$18.48	$18.48	$24.60
	Employment Services - Merit and Non-Merit	FT & PT Perm Employee *	**4**	N/A	$58.08	$60.12	$58.92	$58.92	$59.28
	Health Insurance Surcharge	Per participant		$24.00	$24.00	$24.00	$24.00	$24.00	$24.00
	Golden Dome		**5**	$2.00	$2.00	$2.00	$2.00	$2.00	$2.00
	Unemployment	Annual allocation	**6**	N/A	N/A	N/A	N/A	N/A	N/A
	Workers' Compensation	Annual allocation	**6**	N/A	N/A	N/A	N/A	N/A	N/A
	General Services Enterprise (GSE)								
	Association Fees - Office & Storage combined	Per square foot	**7**	N/A	N/A	$3.43	$3.10	$3.10	$3.29
	Association Fees - Office Space	Per square foot	**7**	$3.15	$3.51	N/A	N/A	N/A	N/A
	Association Fees - Storage Space	Per square foot	**7**	$2.20	$2.72	N/A	N/A	N/A	N/A
	Association Fees - Ankeny Lab	Per square foot		N/A	$5.69	$5.57	$5.26	$5.26	$5.26
	Purchasing	Annual allocation	**6**	N/A	N/A	N/A	N/A	N/A	N/A
	Mail Services	Annual allocation	**6**	$0.04	$0.07	N/A	N/A	N/A	N/A
	Blanket Bond	FT & PT Perm Employee	**8**	N/A	$1.64	$2.06	$2.14	$2.13	$1.58
	Fleet – Risk Management	Per active vehicle		N/A	$209.28	$209.28	$288.00	$288.00	$288.00
	Leasing, Fee at Seat of Govt.	Per square foot		$0.19	$0.12	$0.11	$0.11	$0.10	$0.12
	Fleet Management	Per active vehicle		$183.36	$239.04	$225.00	$176.76	$176.76	$256.44
	Fleet Depreciation	Per active vehicle	**9**						N/A
	Design & Construction Services	Per hour	**10**	N/A					83.84
	Leasing, Fee Outside Seat of Govt.	Per hour				$50.90/hr			61.9

TICKMARK LEGEND

1	While DAS has provided this comparative history of the various utilities and applicable rates, the reader should *be careful in their interpretation* of the information. Rates reflected in this comparison are the final rates charged to customers, which may be different than the rates originally approved by the Customer Councils for budgeting purposes.
2	In FY05 this amount was a combination of individual rates: IFAS, HRIS & Budget based on FTE counts for the 1st Qtr of 2004. In FY06 this became I/3 and the rate was computed based upon FTE counts for the 4th Qtr of 2004. In FY07 the methodology was changed to a combination of component allocations and was reviewed with the Federal Government.
3	Rates were based on FTE counts as follows: FY05 = 1st Qtr 2004 / FY06 = 4th Qtr 2004 / FY07 = 3rd Qtr of 2005 / FY08 = 3rd Qtr of 2006 / FY09 = Qtr 3 of 2007/ ISO started in FY07.
4	In FY05 this was *Employment Services* but in FY06 the HRE Customer Council split the service into *Employment Services - Merit* and *Employment Services - Merit and Non-merit.*
5	Rates were based on 5 Qtr FTE average as follows: FY05 = point in time / FY06 = FT/PT ending Qtr 4 of 2004 / FY07 = FT/PT ending Qtr 3 of 2005 / FY08 = FT ending Qtr 3 of 2006 / FY09 = Qtr 3 of 2007.
6	Charges are based upon allocations, which are based on historical usage; this results in a unique charge to each agency.
7	In FY07 the GSE CC established one rate for space, regardless of type, eliminating separate office and storage rates.

8	Rates were based on FTE counts as follows: FY05 = point in time / FY06 = Qtr 4 of 2004 / FY07 = Qtr 3 of 2005 / FY08 = Qtr 3 of 2006 / FY09 = Qtr 3 of 2007
9	Fleet depreciation rates and charges are billed contingent on vehicle type and purchase date.
10	In FY06 Design & Construction operations were funded by a combination of Infrastructure appropriation and utility rates. The total rate for FY06 was $97.26/hr.
N/A	Not Applicable: Rate had not started, was combined elsewhere or was eliminated; or the "rate" was actually an allocation
(*)	Rates were based on 5 Qtr FTE average as follows: FY05 = ending Qtr 1 of 2004 / FY06 = ending Qtr 4 of 2004 / FY07 = ending Qtr 1 of 2005 / FY08 = ending Qtr 1 of 2006 / FY09 = ending Qtr 1 of 2007 / FY10 = ending Qtr 1 2008

DAS FINANCIALS

GENERAL OPERATIONS (Non Infrastructure)	FY2008	FY2007	FY2006	FY2005	FY2004
BALANCE BROUGHT FORWARD					
Balance Brought Forward	$37,486,231	$33,494,287	$36,647,396	$23,709,756	$18,050,794
Adjustments to Balance Brought Forward	2,108	-$207,682	-$57	$621,053	$476,067
Reversions	0	$0		$89,416	$1,103,583
ADJUSTED BEGINNING BALANCE BROUGHT FORWARD	$37,488,339	$33,286,605	$36,647,339	$24,420,225	$19,630,444
RESOURCES					
Appropriations and Appropriation Adjustments	$17,455,639	$12,560,889	$15,869,333	$22,559,337	$33,748,326
Receipts	185,255,733	$170,036,798	$155,066,670	$142,684,087	$114,970,424
TOTAL RESOURCES	$202,711,372	$182,597,687	$170,936,003	$165,243,424	$148,718,750
DISPOSITION OF RESOURCES					
Expenditures	$201,600,369	$178,062,426	$173,902,168	$151,826,928	$138,750,884
Appropriations & Appropriation Transfers	870,636			$697,261	$4,572,269
Reversions	836,064	$552,023	$403,276	$492,064	$1,233,693
TOTAL DISPOSITION OF RESOURCES	$203,307,069	$178,614,449	$174,305,444	$153,016,253	$144,556,846
BALANCE CARRY FORWARD	$36,991,136	$37,486,231	$33,277,898	$36,647,396	$23,792,348
Adjustment to Balance Carry Forward	-98,495				-$82,592
ADJUSTED BALANCE CARRY FORWARD	$36,892,641	$37,486,231	$33,277,898	$36,647,396	$23,709,756

Footnotes:

> Source of General Operations financial information is I3 - Schedule 6 SD (SD 030).

> Information above covers all DAS operations, *excluding* infrastructure. FY07 includes an adjustment to BBF of -$216,389 for fund 506. Fund 506 is related to infrastructure so information is included on the page for DAS Infrastructure Financials.

> Balance Rolled Forward amounts reflect the balances in various Revolving and Internal Service funds such as; IT Technology, Utility Services, & Fiduciary funds.

> FY08 includes an adjustment to Balance Carry Forward for fund 506 that is no longer reported under Special Department 030SD. The balance carry forward for fund 506 has been moved to Special Department 954SD

DAS FINANCIALS

INFRASTRUCTURE	FY2008	FY2007	FY2006	FY2005	FY2004
BALANCE BROUGHT FORWARD					
Balance Brought Forward	$77,087,185	$34,375,971	$30,375,807	$44,222,845	$45,061,064
Adjustments to Balance Brought Forward	-216,389	$216,389			
ADJUSTED BEGINNING BALANCE BROUGHT FORWARD	$76,870,796	$34,592,360	$30,375,807	$44,222,845	$45,061,064
RESOURCES					
Appropriations, Transfers & Supplementals	$71,928,827	$80,239,047	$37,703,815	$17,462,117	$42,773,686
Receipts	4,993,510	7,329,276	19,399,770	12,038,025	9,292,698
TOTAL RESOURCES	$76,922,337	$87,568,323	$57,103,585	$29,500,142	$52,066,384
DISPOSITION OF RESOURCES					
Expenditures	$45,434,789	$44,564,555	$53,364,524	$43,362,179	$52,840,273
Reversions & Appropriations Transfers	24,602	508,943	1,575	0	49,331
TOTAL DISPOSITION OF RESOURCES	$45,459,391	$45,073,498	$53,366,099	$43,362,179	$52,889,604
BALANCE CARRY FORWARD	$108,235,247	$77,087,185	$34,113,293	$30,360,808	$44,237,844
Adjustment to Balance Carry Forward	98,495		$262,678	14,999	-14,999
ADJUSTED BALANCE CARRY FORWARD	$108,333,742	$77,087,185	$34,375,971	$30,375,807	$44,222,845

Footnotes:

> Source of Infrastructure financial information is I3 - Schedule 6 (SD 954 and SD 030).

> FY06 expenditures have been adjusted upward & BCF downward on this report by $6,066 to match Schedule 6 SD report pulled for FY07 information.

> FY07 Adjustments to Balance Brought Forward (BBF) includes $216,389 from Fund 506. Fund 506 is part of SD 030 and is included in the operations data, however fund 506 is used to account for pass-through funds for Infrastructure. Including the $216,389 in the BBF also increased the Balance Carry Forward and Adjusted Balance Carry Forward amounts.

> Infrastructure involves projects throughout the State of Iowa, some that are funded by direct appropriations to DAS, and some that are funded by direct appropriations to the benefiting agency and transferred to DAS. Other projects are funded by a combination of appropriations & additional funds contributed by the benefiting agency.

> Infrastructure involves multi-year projects and therefore the funding is appropriated to be spent over a period of time, usually 4 years. The year end Balance Brought Forward reflects the total amount unobligated from all the multi-year funded sources that have been appropriated to the Department of Administrative Services.

> FY06 adjustment to BCF was included to match actual FY07 BBF amounts on schedule 6 SD report

> FY08 adjustment to Balance Brought Forward (BBF) includes reversing previous $216,389 adjustment to BBF in FY07

> FY08 includes an adjustment to Balance Carry Forward (BCF) for fund 506 that is no longer reported under Special Department 030SD. The balance carry forward for fund 506 has been moved to Special Department 954SD

APPENDIX A

DAS Customer Council Members
(Effective August 1, 2008)
updated October 1, 2008

Term Ends	Name	Agency (size)	Phone	E-mail
----	Charlie Krogmeier	DOM-chair	515-281-0513	Charles.Krogmeier@iowa.gov
----	Ray Walton	DAS-vice chair	515-281-3273	Ray.Walton@iowa.gov
08/31/10	Greg Anliker	Elder Affairs (small)	515-725-3303	Greg.Anliker@iowa.gov
08/31/09	Mark Brandsgard	Legislative (House)	515-281-3521	Mark.Brandsgard@legis.state.ia.us
08/31/10	Bill Gardam	DHS (large)	515-281-5808	BGardam@dhs.state.ia.us
08/31/10	Nicole Gehl	Commerce-ABD (medium)	515-281-7461	Gehl@iowaabd.com
08/31/10	Keith Greiner	Iowa College Student Aid Commission (small)	515-725-3470	Keith.Greiner@iowa.gov
08/31/09	Dave Heuton	DPS (large)	515-725-6251	Heuton@dps.state.ia.us
08/31/10	Brad Hier	DOC (large)	515-725-5703	Brad.Hier@iowa.gov
08/31/10	Michael Marshall	Legislative (Senate)	515-281-5307	Michael.Marshall@legis.state.ia.us
08/31/09	Joan Moll	DHR (small)	515-281-6680	Joan.Moll@iowa.gov
08/31/09	Larry Murphy	Judicial	515-281-9765	Larry.Murphy@jb.state.ia.us
08/31/09	Mary Jane Olney	Cultural Affairs (medium)	515-281-6320	MaryJane.Olney@iowa.gov
08/31/10	Roger Stirler	Revenue (medium)	515-281-4908	Roger.Stirler@iowa.gov
08/31/09	Margaret Thomson	IDALS (medium)	515-281-5322	Margaret.Thomson@Iowaagriculture.gov
08/31/09	Lee Wilkinson	DOT (large)	515-239-1340	Lee.Wilkinson@dot.iowa.gov